

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Masahisa SONODA et al.

Serial No.: Not Yet Assigned

Filed: August 19, 2003

**For: NONVOLATILE SEMICONDUCTOR
MEMORY DEVICE HAVING GROOVES
ISOLATING THE FLOATING ELECTRODES
OF MEMORY CELLS AND METHOD OF
MANUFACTURING THE NONVOLATILE
SEMICONDUCTOR MEMORY DEVICE**

Group Art Unit: **Not Yet Assigned**

Examiner: **Not Yet Assigned**

MAIL STOP PATENT APPLICATION

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)

Pursuant to 37 C.F.R. §§1.56 and 1.97(b), applicants bring to the Examiner's attention the documents listed on attached Form PTO-1449. With the exception of U.S. patent, copies of the listed documents are attached. Applicants respectfully request that the Examiner consider the documents listed on attached Form PTO-1449 and indicate that they were considered by making an appropriate notation on this form. This Information Disclosure Statement is being filed with the above-referenced application.

The following are listed on the accompanying PTO-1449 and are in a non-English language:

1. Japanese Patent Publication No. 2001-110919

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2. Japanese Patent Publication No. 03-41987

In lieu of a statement of relevance, an English language abstract of each of these documents is enclosed.

The following is a concise statement of relevance for the following non-English language document listed on the accompanying PTO 1449:

3. Japanese Patent Publication No. 2002-016154 - The relevance of this document is discussed at page 1 of the specification of the present application. Also, an English-language abstract of this document is enclosed.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and applicants determine that the cited documents do not constitute "prior art" under United States law, applicants reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents. Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

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If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,
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Dated: August 19, 2003

By: 

Richard V. Burgujian
Reg. No. 31,744

Enclosures
RVB/FPD/sci

INFORMATION DISCLOSURE CITATION

| | | | |
|------------------|------------------------|------------|------------------|
| Atty. Docket No. | 04329.3116 | Serial No. | Not Yet Assigned |
| Applicants | Masahisa SONODA et al. | | |
| Filing Date | August 19, 2003 | Group: | Not Yet Assigned |

| U.S. PATENT DOCUMENTS | | | | | | | |
|-----------------------|--|-----------------|------------|------|-------|-----------|----------------------------|
| Examiner Initial* | | Document Number | Issue Date | Name | Class | Sub Class | Filing Date If Appropriate |
| | | 4,935,378 | 06/19/90 | MORI | | | |
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| FOREIGN PATENT DOCUMENTS | | | | | | | |
|--------------------------|--|-----------------|------------------|---------|-------|-----------|-----------------------|
| | | Document Number | Publication Date | Country | Class | Sub Class | Translation Yes or No |
| | | 2001-110919 | 04/20/01 | JAPAN | | | ABSTRACT |
| | | 03-41987 | 06/25/91 | JAPAN | | | ABSTRACT |
| | | 2002-16154 | 01/18/02 | JAPAN | | | ABSTRACT |
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| OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) | |
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| Examiner | Date Considered |
| *Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | |
| Form PTO 1449 | Patent and Trademark Office - U.S. Department of Commerce |